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31048 U.S. PTO

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PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|   |                        |                                  |
|---|------------------------|----------------------------------|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> | Attorney Docket No.    | 100718- / Beiersdorf 753-KGB/BSL |
|   | First Inventor         | Anja KNUPEL et al                |
|   | Title                  | See Appendix                     |
|   | Express Mail Label No. | EV 015941265 US                  |


| APPLICATION ELEMENTS  | ADDRESS TO:  |  |
|---|--|--|
| See MPEP chapter 600 concerning utility patent application contents.  | Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, D.C. 20231   |  |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br>(Submit an original, and a duplicate for fee processing)   | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or<br>Computer Program (Appendix)   |  |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.   | 8. Nucleotide and/or Amino Acid Sequence Submission<br>(if applicable, all necessary)  |  |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages <input ]<br="" type="text" value="33"/> (preferred arrangement set forth below)<br>- Descriptive title of the invention<br>- Cross Reference to Related Applications<br>- Statement Regarding Fed sponsored R & D<br>- Reference to sequence listing, a table,<br>or a computer program listing appendix<br>- Background of the Invention<br>- Brief Summary of the Invention<br>- Brief Description of the Drawings (if filed)<br>- Detailed Description<br>- Claim(s)<br>- Abstract of the Disclosure | a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or<br>ii. <input type="checkbox"/> paper<br>c. <input type="checkbox"/> Statements verifying identity of above copies  |  |
| 4. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <input ]<="" td="" type="text" value="1"/> <td colspan="2"><b>ACCOMPANYING APPLICATION PARTS</b></td>  | <b>ACCOMPANYING APPLICATION PARTS</b>  |  |
| 5. Oath or Declaration [Total Pages <input ]<br="" type="text" value="1"/> a. <input type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br>(for continuation/divisional with Box 18 completed)<br>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br>Signed statement attached deleting inventor(s)<br>named in the prior application, see 37 CFR<br>1.63(d)(2) and 1.33(b).  | 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney<br>(when there is an assignee)<br>11. <input type="checkbox"/> English Translation Document (if applicable)<br>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS<br>Citations<br>13. <input type="checkbox"/> Preliminary Amendment<br>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized)<br>15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br>(if foreign priority is claimed)<br>16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122<br>(b)(2)(B)(i). Applicant must attach form PTO/SB/35<br>or its equivalent.<br>17. <input checked="" type="checkbox"/> Other: Express Mail Certificate, Appendix |  |
| 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76   |  |  |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

|  |  |           |                |          |                |
|--|--|-----------|----------------|----------|----------------|
| <b>19. CORRESPONDENCE ADDRESS</b>  |  |           |                |          |                |
| <input type="checkbox"/> Customer Number or Bar Code Label  or <input type="checkbox"/> Correspondence address below |  |           |                |          |                |
| (Insert Customer No. or Attach bar code label here)  |  |           |                |          |                |
| Name   | Bruce S. Londa<br>Norris McLaughlin & Marcus |           |                |          |                |
| Address  | 220 East 42nd Street<br>30th Floor           |           |                |          |                |
| City   | New York                                     | State     | New York       | Zip Code | 10017          |
| Country  | United States of America                     | Telephone | (212) 808-0700 | Fax      | (212) 808-0844 |

|                   |   |                                   |              |
|-------------------|---|-----------------------------------|--------------|
| Name (Print/Type) | Bruce S. Londa  | Registration No. (Attorney/Agent) | 33,531       |
| Signature         |  | Date                              | Dec 14, 2001 |

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

|                      |                                  |
|----------------------|----------------------------------|
| Application Number   | To Be Assigned                   |
| Filing Date          | HEREWITH                         |
| First Named Inventor | Anja KNUPPEL et al               |
| Examiner Name        | To Be Assigned                   |
| Group Art Unit       | To Be Assigned                   |
| Attorney Docket No.  | 100718- / Beiersdorf 756-KGB/BSL |

TOTAL AMOUNT OF PAYMENT \$740.00

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number **14-1263**
- Deposit Account Name **Norris McLaughlin & Marcus**
- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR § 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

|              | Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description           | Fee Paid |
|--------------|----------------------------|----------------------------|---------------------------|----------|
| 101          | 740                        | 201                        | 370 Utility filing fee    | 740.00   |
| 106          | 330                        | 206                        | 165 Design filing fee     |          |
| 107          | 510                        | 207                        | 255 Plant filing fee      |          |
| 108          | 740                        | 208                        | 370 Reissue filing fee    |          |
| 114          | 160                        | 214                        | 80 Provisional filing fee |          |
| SUBTOTAL (1) |                            |                            |                           | \$740.00 |

### 2. EXTRA CLAIM FEES

|                    | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Total Claims       | 10 -20** = 0 | X 18.00 =      | 0.00     |
| Independent Claims | 3 -3** = 0   | X 84.00 =      | 0.00     |
| Multiple Dependent |              |                | 0.00     |

|     | Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|-----|----------------------------|----------------------------|--|
| 103 | 18                         | 203                        | 9 Claims in excess of 20                                     |
| 102 | 84                         | 202                        | 42 Independent claims in excess of 3                         |
| 104 | 280                        | 204                        | 140 Multiple dependent claim, if not paid                    |
| 109 | 84                         | 209                        | 42 ** Reissue independent claims over original patent        |
| 110 | 18                         | 210                        | 9 ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

|                     | Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description   | Fee Paid |
|---------------------|----------------------------|----------------------------|---|----------|
| 105                 | 130                        | 205                        | 65 Surcharge - late filing fee or oath  |          |
| 127                 | 50                         | 227                        | 25 Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                 | 130                        | 139                        | 130 Non - English specification   |          |
| 147                 | 2,520                      | 147                        | 2,520 For filing a request for ex parte reexamination                         |          |
| 112                 | 920*                       | 112                        | 920* Requesting publication of SIR prior to Examiner action                   |          |
| 113                 | 1,840*                     | 113                        | 1,840* Requesting publication of SIR after Examiner action                    |          |
| 115                 | 110                        | 215                        | 55 Extension for reply within first month                                     |          |
| 116                 | 400                        | 216                        | 200 Extension for reply within second month                                   |          |
| 117                 | 920                        | 217                        | 460 Extension for reply within third month                                    |          |
| 118                 | 1,440                      | 218                        | 720 Extension for reply within fourth month                                   |          |
| 128                 | 1,960                      | 228                        | 980 Extension for reply within fifth month                                    |          |
| 119                 | 320                        | 219                        | 160 Notice of Appeal  |          |
| 120                 | 320                        | 220                        | 160 Filing a brief in support of an appeal                                    |          |
| 121                 | 280                        | 221                        | 140 Request for oral hearing  |          |
| 138                 | 1,510                      | 138                        | 1,510 Petition to institute a public use proceeding                           |          |
| 140                 | 110                        | 240                        | 55 Petition to revive - unavoidable   |          |
| 141                 | 1,280                      | 241                        | 640 Petition to revive - unintentional  |          |
| 142                 | 1,280                      | 242                        | 640 Utility issue fee (or reissue)  |          |
| 143                 | 460                        | 243                        | 230 Design issue fee  |          |
| 144                 | 620                        | 244                        | 310 Plant issue fee   |          |
| 122                 | 130                        | 122                        | 130 Petitions to the Commissioner   |          |
| 123                 | 50                         | 123                        | 50 Processing fee under 37 CFR § 1.17(q)                                      |          |
| 126                 | 180                        | 126                        | 180 Submission of Information Disclosure Statement                            |          |
| 581                 | 40                         | 581                        | 40 Recording each patent assignment per property (times number of properties) |          |
| 146                 | 740                        | 246                        | 370 Filing a submission after final rejection (37 CFR § 1.129(a))             |          |
| 149                 | 740                        | 249                        | 370 For each additional invention to be examined (37 CFR § 1.129(b))          |          |
| 179                 | 740                        | 279                        | 370 Request for Continued Examination (RCE)                                   |          |
| 169                 | 900                        | 169                        | 900 Request for expedited examination of a design application                 |          |
| Other fee (specify) |                            |                            |   |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$0.00

## SUBMITTED BY

|                   |                |                                   |        |           |                |
|-------------------|----------------|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Bruce S. Londa | Registration No. (Attorney/Agent) | 33,531 | Telephone | (212) 808-0700 |
| Signature         |                |                                   |        | Date      | Dec 14, 2001   |

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Beiersdorf 756-KGB/BSL  
6713-hf 200-283



APPLICANT: Anja KNÜPPEL et al

TITLE: USE OF POLYURETHANES FOR IMPROVING THE WATER RESISTANCE  
OF COSMETIC OR DERMATOLOGICAL FORMULATIONS

GERMAN PRIORITY NO.: 100 63 130.4

**EXPRESS MAIL CERTIFICATE**

"Express Mail" mailing label number EV 015941265 US

Date of Deposit December 14, 2001

I hereby certify that the following items:

1. Utility Patent Application Transmittal
2. Appendix
3. Fee Transmittal Form in duplicate - CHARGE DEPOSIT ACCOUNT
4. Specification consisting of description (pages 1-24); Examples (pages 25-30); 10 Claims (pages 31-32); Abstract (page 33)
5. Return Receipt Postcard

are being deposited with the United States Postal Services "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231, Box Patent Application

NORRIS, McLAUGHLIN & MARCUS, P.A.

By Kathleen D. Monical  
Kathleen D. Monical

10015941265



APPENDIX

**TITLE:** USE OF POLYURETHANES FOR IMPROVING THE WATER  
RESISTANCE OF COSMETIC OR DERMATOLOGICAL  
FORMULATIONS

**LIST OF INVENTORS:**

- |  |                     |
|--|---------------------|
| 1. Anja KNÜPPEL<br>Olloweg 9, 22527 Hamburg                | Nationality: German |
| 2. Wiebke GRUNDT<br>Tiemannsweg 8, 21244 Buchholz          | Nationality: German |
| 3. Dr. Jens SCHULZ<br>Friedrichruher Str. 54, 12169 Berlin | Nationality: German |

**CLAIM TO PRIORITY:**

Priority is hereby claimed under 35 USC 119 on the basis of German Application No.  
100 63 130.4, filed on December 18, 2000. A certified copy of the priority document is  
filed herewith.

**ASSIGNMENT:**

This application shall be effected in the name of Beiersdorf Aktiengesellschaft.

**"Express Mail" Mailing Label No. EV 015941265 US**

Date of Deposit: Dec 14, 2001

NORRIS, McLAUGHLIN & MARCUS

By: 